

## PERMISSION BASED DATA EXCHANGE

### CROSS-REFERENCE TO RELATED PATENT APPLICATION

5 This application claims priority from United States Provisional Application Serial Number 60/225,689 that was filed on August 16, 2000. The disclosure of Serial Number 60/225,689 is incorporated by reference in its entirety herein.

### BACKGROUND

#### 1. Field of Invention

10 This invention relates to the management of private information on a computer network. More particularly, the management of proprietary personal or business private information via a third-party server.

#### 2. Description of Related Art

15 Private customer and proprietary business information has become one of the most sought after commodities in the Internet marketplace. The interactive nature of the Internet is fundamentally changing the way business is done. Businesses are moving from a product-centric world to one that is customer-centric and information-centric. Businesses increasingly compete on their ability to uncover and listen to individual  
20 customers and partners and provide superior service and specifically targeted offerings. One key to succeeding in this customer-centric marketplace is the ability of a company to tailor its efforts to a specific customer

Currently, the management of private personal and business information on the Internet is handled in a myriad of ways. Some are very open and require the user to  
25 consent while others are less obvious and collect information without the users knowledge. For example, when making a purchase on the Internet, a customer is usually required to enter in relevant information such as name, address, and method of payment. This is one example of a consensual and open exchange of information. In contrast, some parties attempt to gather personal information from an Internet user by tracking the  
30 usage of the user and generating a profile. In many cases, the tracking is done without

the users knowledge or permission. If the user wishes to stop this tracking, she must “opt-out” by notifying the tracker to stop.

However, many customers would still like to receive information that is tailored to their needs while not sacrificing their privacy or being tracked without their knowledge. Providing information directly to a third party, as mentioned above, seems to satisfy these goals. This method can be inefficient though because users usually only enter data when making a purchase or registering for a service. Additionally, security concerns are usually not addressed because in many instances a user’s personal data is sold or transferred to other parties. Moreover, the information provided to one party may not be appropriate for another party resulting in inaccurate user profiles. Usage tracking may be more efficient due to its constant monitoring, however it is severely crippled by its inability to effectively classify a user and most consumers react very negatively to being tracked without permission.

In addition to the above concerns, the Federal Trade Commission recently enacted the Children’s Online Privacy Protection Act (COPPA) which is directed toward protecting the privacy of children on the Internet. This Act further complicates the collection of information and is indicative of a need for permission based services.

Additional concerns relating to privacy and security over networks arise in the context of industrial data sharing. Many companies rely heavily on partnerships to effectively compete in such a diverse technological marketplace. Partnerships can crumble however if information cannot be effectively shared.

There exists therefore a need for an efficient method of providing a party with accurate information of a network user while protecting the privacy of the user and the security of the data.

## SUMMARY OF THE INVENTION

Accordingly, it is an object of the invention to provide a secure method of providing accurate data to a network user about a second network user or a customer. A host receives a request for access from a requester and transmits the request to an authority. Pursuant to the authority’s response, the host either provides or denies the

requester with access. In one embodiment, access is granted by providing the requester with a password.

It is a feature of the invention that in one embodiment (1) the user can be a child, (2) the data can be whether the child can access a website accessible via a URL (Uniform Resource Locator), and (3) the data is provided by the parent of the child. It is a further feature of the invention that the data is stored by a trusted third party. Still further features of the invention are that the data can be customized and its transmission can be controlled by the user or in the alternative, someone in authority over the user such as a parent.

It is an advantage of the invention that a web site operator can efficiently obtain the consent of a parent to provide information to a child and to collect information from that child. It is a further advantage that personal or private information about an Internet user can be transmitted to a third party with the permission of the provider of the information.

In accordance with one embodiment of the invention there is provided a method of providing permission to a web site to transmit data to a child. A web site accessible via a URL receives a request for access from a child. The site then transmits the request to an authority database. The authority database receives the request and transmits a response from the site to either (1) grant, or (2) deny access to the child.

In accordance with a second aspect of the invention there is provided a method of creating and maintaining a vendor account on behalf of an individual entity through the use of a third-party server accessible via the Internet. An individual registers personal information with a Permission Based Information Exchange (PCIX) server and a cookie is stored on the individual's computer. The individual visits a PCIX registered vendor's web site and the web site accesses the cookie to identify the individual as a PCIX customer. If the vendor wishes to access customer information it can send a request to the PCIX server. The PCIX server would then notify the individual that a request has been made by this vendor and ask for authorization to send the information. The individual can then respond to the request and, without limitation, (1) have the information transmitted to the vendor; (2) have specific information transmitted to the vendor; or (3) have no information transmitted to the vendor.

It is a feature of the invention that a PCIX meta-directory can be created to allow different entities to map their information to all vendors. The meta-directory maps all information to create a single point of contact for web vendors. Vendors will only need to sign up with the directory to access all third-party services.

5           It is an advantage of the invention that users who register their personal information can “opt-in” to sharing their personal information only with those sites which the user authorizes.

10           In accordance with a third embodiment of the invention there is provided a permission based method for providing an individual from one organization with information about an individual from a partner organization. At least a first partner and a second partner provide employee information to a PCIX server. The PCIX server creates a matrix of the two sets of employee information and input the matrix into a meta-  
15           directory. Based on a request for information from the meta-directory, the requester is provided with a response that is dynamically mapped from the matrix and other subsets of the meta-directory. The partner companies could pre-authorize some or all of the transmission of data to requesters or in the alternative, require authorization on a case by case basis.

20           In one aspect of this embodiment, two or more companies contribute salesperson information to a PCIX server. The PCIX server compiles a matrix of the information and inputs that information into a meta-directory that could links salespeople across each company based on a desired function or capability. One such match could be where two salespeople from different companies both sell their respective service to a common customer. The meta-directory would also store communications between the salespeople and track any referrals.

25           Additionally, the PCIX server can be programmed to handle requests for information in different ways. One example would be to prompt a requester for additional information and allow the sender or receiver to route requests to additional infomediaries. It would also be possible to attach additional content to these communications.

It is a feature of the invention that individual companies can require requests to conform to a predetermined form and if deficient, either deny access to the information or request more information from the requester.

It is an advantage of the invention that an employee in one organization can rapidly locate the appropriate employee in a partner company. It is a further advantage of the invention that the PCIX meta-directory structure provides a secure and reliable third-party authorization platform. It is a further advantage of the invention that the PCIX meta-directory structure enables a specific method of communicating information between parties and while adding that information to the meta-directory.

## BRIEF DESCRIPTION OF THE DRAWINGS

Figure 1 illustrates a generic authorization.

Figure 2 illustrates a child request authorization.

Figure 3 displays a child's subscription.

Figure 4 illustrates in flow chart format an example of a PCIX transaction.

Figure 5 illustrates a multi-company PCIX transaction.

## DETAILED DESCRIPTION

With reference to Figure 1 a requester 2 requests 4 information from a host 6. Host 6 receives request 4 and transmits 8 request 4 to authority database server 10. Database authority 10 communicates 18 request 4 to authorization party 20. Authorization party 20 communicates 16 authorization or denial to database authority 10. If authorization is communicated, database authority transmits either (1) a signal 22 to host 6 to provide information or (2) a signal 14 to requester 2 which includes a key, such as a password, to access the requested information from host 6. If authorization is denied, database authority 10 transmits a signal 22' to host 6 to withhold information or a signal 14' to requester 2 indicating that access is forbidden.

In an alternative embodiment, authorization party 20 provides a list of authorized and unauthorized locations to database authority 10. Database authority 10 stores this list and responds to host 6 request 8 based on the list without contacting authorization party 20.

Host 6 and servers outlined in other embodiments are typically a computer, more specifically a web server, located on the Internet or within a network of computers such as a Local Area Network (LAN) or a Wide Area Network (WAN). Host 6 and database server 10 are typically connected to the Internet or the computer network via high-speed connections such as a T1 line. Requester 2 locates host 6 via an Internet Protocol (IP) address or other computer network address assigned to host 6. Requester 6 can have a fixed IP address on the network or be a user who is dynamically assigned an IP address when logged in to the network. Database authority 10 is also a computer located on the computer network and is also assigned an IP address or other network address. Authority 10 20 is accessible via the computer network and communication between the parties is typically accomplished via Transmission Control Protocol/Internet Protocol (TCP/IP) and can be encrypted into cypher text. Common encryption schemes utilize 128 binary digit (bit) encryption but greater or lesser encryption schemes can be used. Other communication methods effective to transmit data over a computer network are equally appropriate.

With reference to Figure 2, a child 24 accesses 26 a vendor website 28 and requests to register. Vendor website 28 transmits 32 request to a third-party server 40 such as followup.net. Third-party server 40 notifies 38 parent 42 of child 24 that child 24 wishes to register at vendor website 28. Parent 42 then transmits 36 a grant or denial of permission to third party server 40. If parent 42 grants permission, third-party server 40 communicates 32 to vendor 28 that child is permitted to register and or sends a key 34 such as a password to child 24 to register at vendor website 28. If parent 42 denies permission, server 40 notifies vendor website 28 that child cannot register and or notifies 34 child 24 that he or she cannot register.

Figure 3 is a graphical illustration of a subscription process for a child to gain access to information or send information to a web site. A first pop up question box 44 is displayed when a user attempts to gain access to information that requires parental permission if the user is under the age of 13 or to send personal information. Selecting "no" button 82 allows the user to access the requested information or to send personal information to the site. Selecting "yes" button 84 launches a second pop up box 46. Second pop up box 46 prompts the user for his or her e-mail address 78 and the e-mail

address of the child's parent 80. After filling in these the child selects send button 86 to continue or cancel button 88 to cancel the transaction. If the child selects send button 86, an e-mail 50 is sent to the parent notifying it that the child would like to access information on the site or send information to the site. The parent can then fill out a third pop up box 56 filling in without limitation (1) the parent's name and (2) the relationship to the child if not the parent. By selecting the yes button 90, the child would be granted permission via e-mail 52 to access the site or send information to the site 48. By selecting no button 92, the child would be notified via e-mail 58 that permission to access the information or send information is forbidden. Selecting cancel button 94 would also result in the authorization being denied by no action.

Figure 4 is a graphical illustration in flow chart format of a PCIX transaction. A customer 60 registers personal information without limitation, (1) name, (2) address, (3) credit card information, (4) age, (5) occupation, (6) salary, (7) marital status, (8) number and ages of children, (9) brand preferences, (10) purchasing habits, (11) medical history, (12) delivery instructions, (13) contact information, and (14) travel preferences with a PCIX server 66. PCIX server 66 creates a profile of customer 60 and stores it in a PCIX meta directory 64 and transmits a cookie to customer's 60 computer. Customer 60 accesses a vendor's 62 web site and the vendor is alerted by the PCIX cookie that customer 60 is a PCIX member. Vendor 62 can then request personal information located in the PCIX meta directory 64 from PCIX server 66 about customer 60. The PCIX server notifies customer 60 that an information request has been sent from vendor 62 and customer 60 can then decide whether to allow the PCIX server to transmit the requested information to vendor 62.

Figure 5 is an illustration of a multi-company matrix and meta-directory system. Companies 96, 98 and 100 transmit an employee characteristic list including without limitation (1) employee name, (2) employee position, (3) sales territory, (4) current customers, and (5) prospective customers to a third-party meta-directory 124. Meta-directory 124 compiles a matrix listing that relates employees from one company to employees of at least a second company by common position, customer, territory or other relevant variable. A salesperson 110 could access meta-directory 124 to find a suitable partner from at least a second company. Companies 96, 98, and 100 would have full

control over the transmission of the information it provided. In another embodiment, companies 96, 98, and 100 would pre-authorize the transmission of information.

It is apparent that there has been provided a method for a requester to gain access to desired location that fully satisfies the objects, means and advantages set forth hereinbefore. While the invention has been described in combination with specific  
5 embodiments and examples thereof, it is evident that many alternatives, modifications and variations will be apparent to those skilled in the art in light of the foregoing description. Accordingly, it is intended to embrace all such alternatives, modifications and variations as fall within the spirit and broad scope of the appended claims.

10



# AllianceTrakker

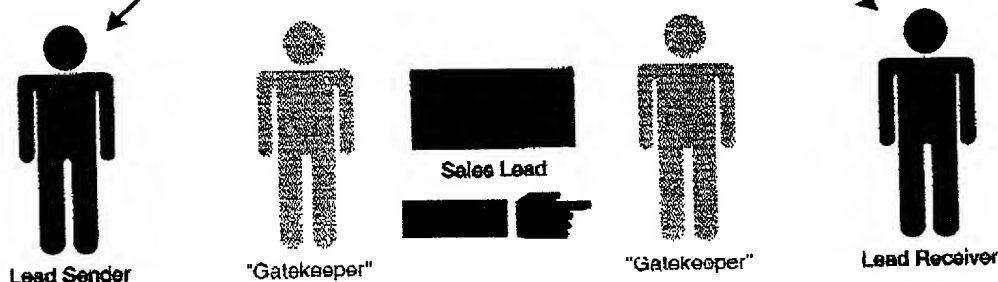
## 1. Organize the Sales Contact Matrix

Alliance Partners mutually agree on common customers and control a map of each to the appropriate sales contact at each partner.



## 2. Encourage Sales Networking

Email delivery of a customized matrix of accounts and contacts to each salesperson.



## 3. Communicate Opportunities and Build Relationships

To initiate communication regarding a specific account, the salesperson simply checks a box corresponding to the account and the partner. The lead is sent to the appropriate contact at the receiving partner. The lead can be routed through a contact person or "gatekeeper" by either the sending or receiving company.



### Educate Partners

AllianceTrakker can automatically email the sender the appropriate product information as ruled by the qualification survey.

### Qualify Leads

The receiving partner can automatically ask the sender to complete a customer needs survey



### Follow Up on Leads

Leads can be updated, confirmed and assessed for value automatically or manually, by any of the parties involved.

### Report on Activity

AllianceTrakker provides a variety of activity tracking and reporting by partner, account, territory, or salesperson



For more information contact:  
FollowUp@FollowUp.Net; (203) 226-5853 x118

# AllianceTrakker

## *Increase the Productivity of Strategic Alliances*

**AllianceTrakker** generates more sales leads from your network of alliance partners.

- Raise your sales team's visibility in the marketplace
- Avoid missing credit for referrals
- Build one-to-one, "street level" relationships throughout your partner network
- Strengthen your alliances through a common lead management platform

### **AllianceTrakker Features:**

- Maximizes an existing "opportunity network" close to potential customers
- Improves processing of incoming and outgoing sales leads
- Qualifies leads automatically
- Routes and forwards leads
- Educates inquiring partners with product and sales information
- Tracks and reports on activity by partner, account, salesperson or product
- Follows up to determine outcomes and lead value
- Delivered to the desktop via email and the web, requiring no software or user training and is compatible with current business practices and processes

... accounts and sales contacts for each  
... enabling person-to-person communications  
... for each partner, only visible to appropriate personnel.  
... efficient processes for sending, receiving,  
... and  
... programs

# FollowUp.

For more information, contact:  
(203) 226-5853 x118  
[sales@followup.net](mailto:sales@followup.net)

©2001, FollowUp.Net revision 050801

## Addendum to PCIX-Oriented Business Patent Notes

ReferralTrakker, PartnerTrakker and AllianceTrakker are a method and system for creating and deploying a computer-based, third party, multi-company **meta-directory** to allow businesses to enable, access, control and record communications between their salespeople. The invention allows companies who contribute to meta-directory to provide salesperson and account information to each other for business-to-business purposes such as discovering related business contacts and communicating new business opportunities or to improve customer service.

### ReferralTrakker Network Claim

1. Company A contributes salesperson and client list (prospective or existing) and other company-specific information (such as salesperson profiles and partner lists) to FollowUp/ReferralTrakker **meta-directory**
2. Company B contributes salesperson and client list (prospective or existing) and other company-specific information (such as salesperson profiles and partner lists) to FollowUp/ReferralTrakker meta-directory
3. Company C contributes salesperson and client list (prospective or existing) and other company-specific information (such as salesperson profiles and partner lists) to FollowUp/ReferralTrakker meta-directory
4. FollowUp.Net creates a matrix listing that relates each company's salespeople by their common accounts by matching up accounts by name, territory, etc. using computer assistance for comparing and relating company names.
5. In addition to Matrix listing, FollowUp.Net may also be programmed to handle requests in different ways, such as (prompt for additional information if desired, allow sender or receiver to route requests to additional intermediaries.) And it may include attaching additional content to communications.
6. Each participating company **controls display** of and access to information by others and the handling of information as it travels through the system.
7. FollowUp.Net acts as computer agent / slave server for companies by distributes or makes list available online
8. Individual salespeople (at company A) use their computers to discover their counter parties by common account.
9. Individual salesperson (at company A) who wishes to communicate with an identified salesperson at company B requests that FollowUp.Net (third party communication) send a communication to the counter party, on behalf of the requester
10. FollowUp.Net may be programmed (on behalf of company B) to ask requester at company A for additional information before forwarding the request to appropriate person at company B (qualification survey)
11. FollowUp.Net may be programmed by sending or receiving companies to add information to (such as additional information submitted upon request

# **Addendum to PCIX-Oriented Business Patent Notes**

or pre-stored information), forward or copy communication to others in the process.

12. FollowUp.Net provides response mechanism either pre-programmed or manually by individual communication
13. FollowUp.Net enables the tracking of communication
14. FollowUp.Net can send an online inquiry to one or the other side requesting status updates of the object of communication
15. FollowUp.Net provides activity reports to both sides' computers

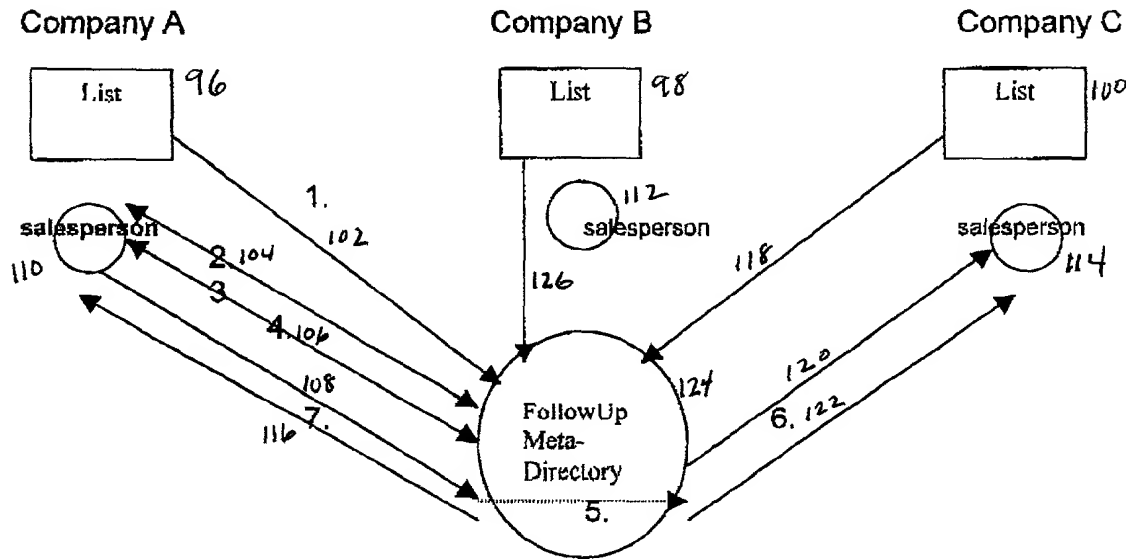


Fig 5

1. Contribute and control lists and information
2. Search for and Discover counter party
3. Request or send information to counterparty
4. Prompted by FollowUp for more information
5. Process by FollowUp and record
6. Forward information to counterparty
7. FollowUp with either or both sides to determine status

### **AllianceTrakker "Program Rules"**

FollowUp.Net's sole focus is on improving the relationships between the participants on the network. Our success will be measured by enabling participants to create a sustainable competitive advantage and realize additional revenues. As such, we will do nothing that is not in the best interests of our clients and these goals. FollowUp will ensure that partners have complete control of their information and confidentiality on the network.

**# 1:** Participants are committed to fostering direct, mutually beneficial person-to-person communication on a client-specific basis.

Only sales contacts who are listed as covering accounts will be able to initiate or receive information from their alliance partners regarding those accounts.

**# 2:** Partners control the visibility and accessibility of all information.

Partners only put the accounts, salespeople and contacts that they want others to see on the network. In addition, only account "matches" will be visible to the alliance partners. I.E. if participant "A" lists account AcmeCo while participant "B" does not list AcmeCo, then participant "B" will not see that account listed (under participant "A") in their contact matrix.

**# 3:** FollowUp will maintain a strict neutrality and confidentiality.

FollowUp will implement and maintaining the sales contact/account matrix and operate the network as a neutral third party for the benefit of all participants. FollowUp will keep all partner, account and salesperson information specifically confidential to the partners contributing the information. FollowUp will not use that information in any way, whatsoever. Any partner can decline to participate at any time and all information will be returned to the partner who contributed it upon request.

## Alliance Partner FollowUp Program Participant Classifications

### Tier One Partner

FollowUp clients who are paying members who enjoy the full range of network features and services and can use the network to send or receive sales leads and communications with Tier two or Tier Three partners (i.e. a Tier one partner can bring non-paying partners.) FollowUp:

- Provides and maintains the account/salesperson/partner matrix on their behalf
- Enables the participant to initiate communication across the network
- Provides additional features such as:
  - Automatic qualification surveys
  - Lead routing
  - Step-by-step tracking
  - Lead follow up ("closed" and "open" loop)
- Activity, Status, and other reports by partner, product, territory, etc.

### Tier Two Partner

Network participants who have been brought in by a Tier One partner and who pay for additional features and services of the network beyond the base Tier Three receive-only level:

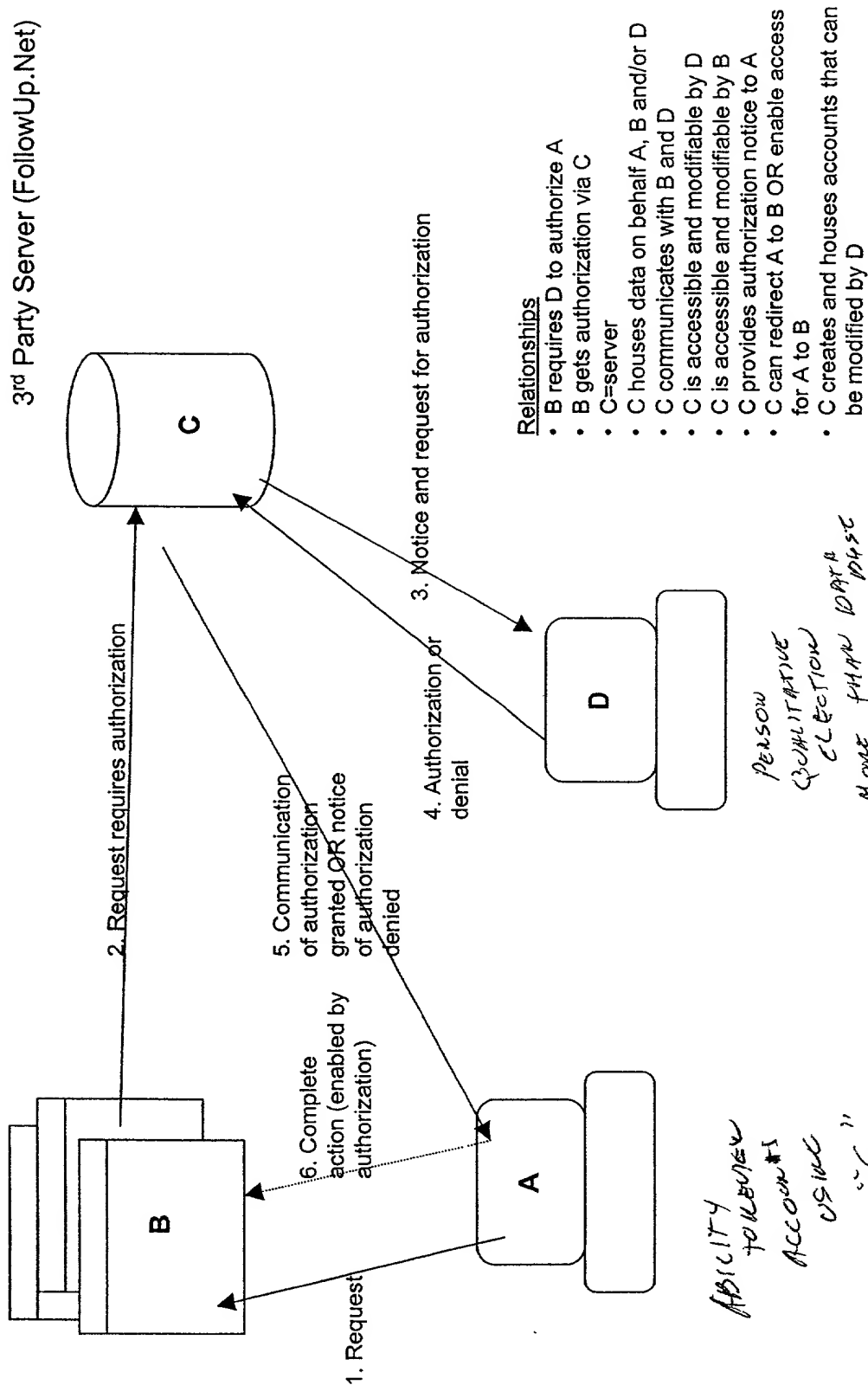
- Activity reports for managers
- Gatekeeper routing
- List management
- Partnership environmental overview

### Tier Three Partner

Network partners whose participation is sponsored by paying members and are limited to "receive-only" from Tier One partners. No reports or additional services.

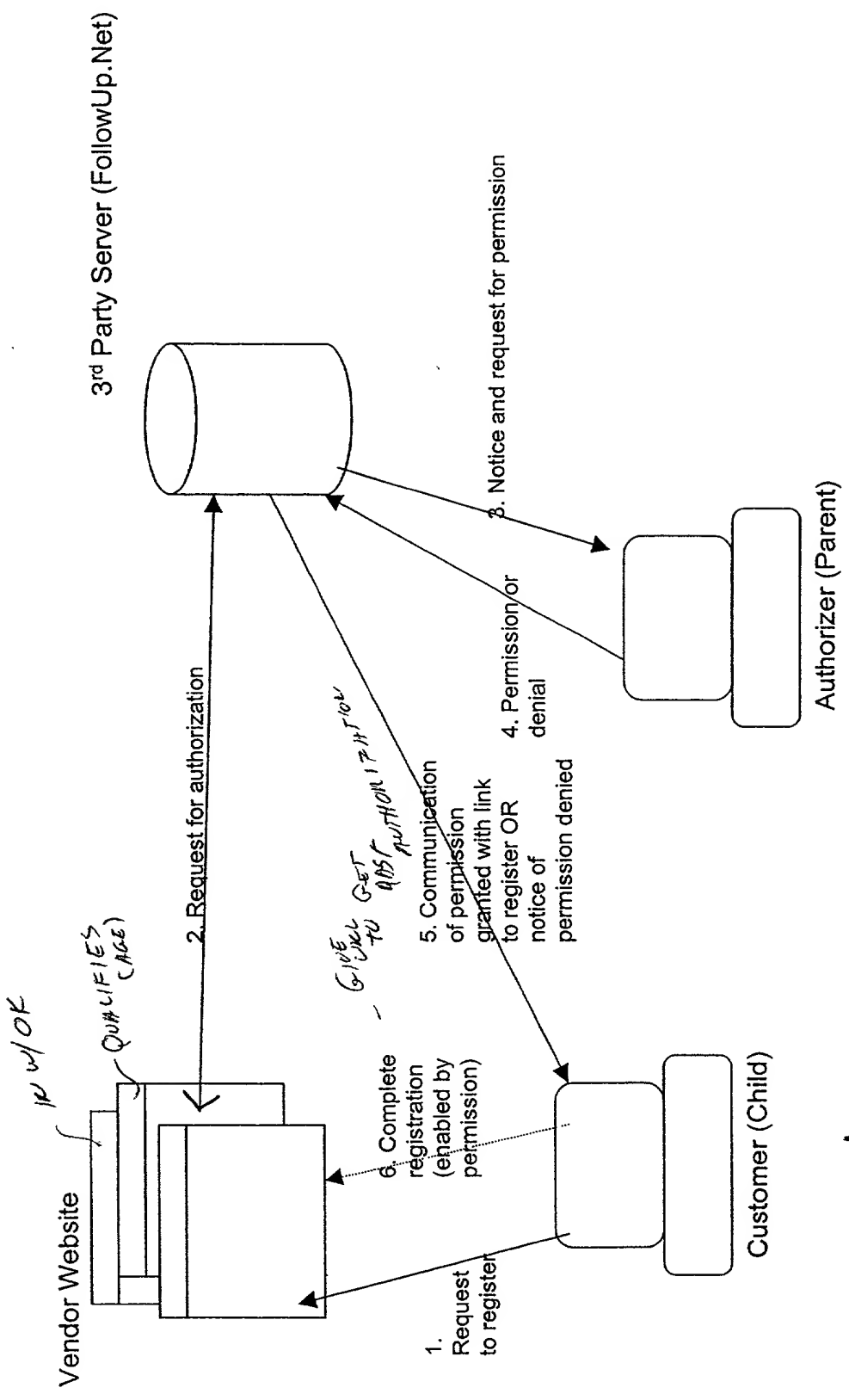
[illegible]

# Conceptual Diagram – Generic Authorization





# Conceptual Diagram - ChildTracker



# ChildTracker Parental Permission Slip process

102138-100

Child begins subscription process

ChildTracker  
Are you under 13  
years old?

Site.com registration



To: [Child's email]  
From: [Site.com]  
Subject: Permission Request

We have received your parent's permission to  
participate in [site.com].

Please click below to sign up:  
<http://www.site.com/registration>

"Yes" response



To: [Parent's email]  
From: [Site.com]  
Subject: Permission Request

[child's email address] would like to participate in  
[site.com]. Federal law requires parental permission for  
children under the age of 13 to provide information or  
participate in...

Click here to grant or deny permission:  
<http://www.ChildTracker.net/siterel>

ChildTracker  
Are you under 13  
years old?

Child's name:

Parent's name:

Relationship to child:



To: [Child's email]  
From: [Site.com]  
Subject: Permission Request

We have received response from your parent denying  
permission to participate in [site.com].

We're sorry!

The ChildTracker is the easiest way to receive parental permission, to collect information from children and comply with the Children's Online Privacy Protection Act (COPPA)

## ChildTracker:

- Requests and validates permission slips to and from parents and children.
- Gives parents access to their children's information.
- Has a survey component to easily capture client-specific feedback.
- Provides a flexible means to manage the customer relationship.

## How ChildTracker Works

1. A pop-up survey will request a parent's e-mail address where information is to be collected.
2. ChildTracker.net will e-mail the parent a registration form for your site. This includes:
  - a. The name of your company, including all relevant contact information
  - b. What the information collected will be used for
  - c. A link to your company's privacy statement
  - d. Whether the information collected will be shared with or sold to a third party
  - e. Credit card validation if information will be shared with a third party.
3. After the parent returns the ChildTracker request for permission, the response is recorded in our database. All responses from parents are collected, and ChildTracker will send you an approved list on a predetermined schedule.
4. Parents must be able to review the information collected by your site on their children, and revoke their consent. ChildTracker.net can collect and maintain the information, and provide these services on behalf of your company in order to streamline the access and review process.

## Optional Marketing Component

The FollowUp.Net's Program also enables clients to easily capture and integrate feedback into the customer relationship management process. The program then provides an easy means for leveraging that information into continual branding and additional market research, increasing the knowledge gained from the customer relationship.

**FollowUp.Net**

For More information Contact  
Alan Mack, [amack@followup.net](mailto:amack@followup.net)  
(203)226-5853 x47

# ChildTrakker

Vendor



Child



Parent



# FollowUp.Net

Trusted Third Party Enables Vendor Compliance

1. FollowUp.Net collects all vendors' site
2. By law (COPPA) vendor must attain parent's permission.
3. ChildTrakker asks for parents e-mail address
4. ChildTrakker e-mails "permission slip" to parent.
5. Parent consents or denies.
6. ChildTrakker notifies child and site or permission request result
7. ChildTrakker allows parent to review and edit child's accounts across vendors



FollowUp.Net

# **TITLE XIII--CHILDREN'S ONLINE PRIVACY PROTECTION**

## **SEC. 1301. SHORT TITLE.**

This title may be cited as the 'Children's Online Privacy Protection Act of 1998'.

## **SEC. 1302. DEFINITIONS.**

In this title:

(1) **Child:** The term 'child' means an individual under the age of 13.

(2) **Operator:** The term 'operator'--

(A) means any person who operates a website located on the Internet or an online service and who collects or maintains personal information from or about the users of or visitors to such website or online service, or on whose behalf such information is collected or maintained, where such website or online service is operated for commercial purposes, including any person offering products or services for sale through that website or online service, involving commerce--

(i) among the several States or with 1 or more foreign nations;

(ii) in any territory of the United States or in the District of Columbia, or between any such territory and--

(I) another such territory; or

(II) any State or foreign nation; or

(iii) between the District of Columbia and any State, territory, or foreign nation; but

(B) does not include any nonprofit entity that would otherwise be exempt from coverage under section 5 of the Federal Trade Commission Act (15 U.S.C. 45).

**(3) Commission:** The term `Commission' means the Federal Trade Commission.

**(4) Disclosure:** The term `disclosure' means, with respect to personal information--

(A) the release of personal information collected from a child in identifiable form by an operator for any purpose, except where such information is provided to a person other than the operator who provides support for the internal operations of the website and does not disclose or use that information for any other purpose; and

(B) making personal information collected from a child by a website or online service directed to children or with actual knowledge that such information was collected from a child, publicly available in identifiable form, by any means including by a public posting, through the Internet, or through--

(i) a home page of a website;

(ii) a pen pal service;

(iii) an electronic mail service;

(iv) a message board; or

(v) a chat room.

**(5) Federal agency:** The term `Federal agency' means an agency, as that term is defined in section 551(1) of title 5, United States Code.

**(6) Internet:** The term `Internet' means collectively the myriad of computer and telecommunications facilities, including equipment and operating software, which comprise the interconnected world-wide network of networks that employ the Transmission Control Protocol/Internet Protocol, or any predecessor or successor protocols to such protocol, to communicate information of all kinds by wire or radio.

**(7) Parent:** The term `parent' includes a legal guardian.

**(8) Personal information:** The term 'personal information' means individually identifiable information about an individual collected online, including--

- (A) a first and last name;
- (B) a home or other physical address including street name and name of a city or town;
- (C) an e-mail address;
- (D) a telephone number;
- (E) a Social Security number;
- (F) any other identifier that the Commission determines permits the physical or online contacting of a specific individual; or
- (G) information concerning the child or the parents of that child that the website collects online from the child and combines with an identifier described in this paragraph.

**(9) Verifiable parental consent:** The term 'verifiable parental consent' means any reasonable effort (taking into consideration available technology), including a request for authorization for future collection, use, and disclosure described in the notice, to ensure that a parent of a child receives notice of the operator's personal information collection, use, and disclosure practices, and authorizes the collection, use, and disclosure, as applicable, of personal information and the subsequent use of that information before that information is collected from that child.

**(10) Website or online service directed to children:**

**(A) In general:** The term 'website or online service directed to children' means--

- (i) a commercial website or online service that is targeted to children; or
- (ii) that portion of a commercial website or online service that is targeted to children.

**(B) Limitation:** A commercial website or online service, or a portion of a commercial website or online service, shall not be deemed directed to children solely for referring or linking to a commercial website or online service directed to children by using information location tools, including a directory, index, reference, pointer, or hypertext link.

**(11) Person:** The term 'person' means any individual, partnership, corporation, trust, estate, cooperative, association, or other entity.

**(12) Online contact information:** The term 'online contact information' means an e-mail address or another substantially similar identifier that permits direct contact with a person online.

**SEC. 1303. REGULATION OF UNFAIR AND DECEPTIVE ACTS AND PRACTICES IN CONNECTION WITH THE COLLECTION AND USE OF PERSONAL INFORMATION FROM AND ABOUT CHILDREN ON THE INTERNET.**

**(a) Acts Prohibited:**

**(1) In general:** It is unlawful for an operator of a website or online service directed to children, or any operator that has actual knowledge that it is collecting personal information from a child, to collect personal information from a child in a manner that violates the regulations prescribed under subsection (b).

**(2) Disclosure to parent protected:** Notwithstanding paragraph (1), neither an operator of such a website or online service nor the operator's agent shall be held to be liable under any Federal or State law for any disclosure made in good faith and following reasonable procedures in responding to a request for disclosure of personal information under subsection (b)(1)(B)(iii) to the parent of a child.

**(b) Regulations:**

**(1) In general:** Not later than 1 year after the date of the enactment of this Act, the Commission shall promulgate under section 553 of title 5, United States Code, regulations that--

**(A)** require the operator of any website or online service directed to children that collects personal information from children or the operator of a website or online service that has actual knowledge that it is collecting personal information from a child--

**(i)** to provide notice on the website of what information is collected from children by the operator, how the operator uses such information, and the operator's disclosure practices for such information; and

**(ii)** to obtain verifiable parental consent for the collection, use, or disclosure of personal information from children;

**(B)** require the operator to provide, upon request of a parent under this subparagraph whose child has provided personal information to that website or online service, upon proper identification of that parent, to such parent--

**(i)** a description of the specific types of personal information collected from the child by that operator;

**(ii)** the opportunity at any time to refuse to permit the operator's further use or maintenance in retrievable form, or future online collection, of personal information from that child; and



(iii) notwithstanding any other provision of law, a means that is reasonable under the circumstances for the parent to obtain any personal information collected from that child;

(C) prohibit conditioning a child's participation in a game, the offering of a prize, or another activity on the child disclosing more personal information than is reasonably necessary to participate in such activity; and

(D) require the operator of such a website or online service to establish and maintain reasonable procedures to protect the confidentiality, security, and integrity of personal information collected from children.

**(2) When consent not required:** The regulations shall provide that verifiable parental consent under paragraph (1)(A)(ii) is not required in the case of--

(A) online contact information collected from a child that is used only to respond directly on a one-time basis to a specific request from the child and is not used to recontact the child and is not maintained in retrievable form by the operator;

(B) a request for the name or online contact information of a parent or child that is used for the sole purpose of obtaining parental consent or providing notice under this section and where such information is not maintained in retrievable form by the operator if parental consent is not obtained after a reasonable time;

(C) online contact information collected from a child that is used only to respond more than once directly to a specific request from the child and is not used to recontact the child beyond the scope of that request--

(i) if, before any additional response after the initial response to the child, the operator uses reasonable efforts to provide a parent notice of the online contact information collected from the child, the purposes for which it is to be used, and an opportunity for the parent to request that the operator make no further use of the information and that it not be maintained in retrievable form; or

(ii) without notice to the parent in such circumstances as the Commission may determine are appropriate, taking into consideration the benefits to the child of access to information and services, and risks to the security and privacy of the child, in regulations promulgated under this subsection;

(D) the name of the child and online contact information (to the extent reasonably necessary to protect the safety of a child participant on the site)--

(i) used only for the purpose of protecting such safety;

(ii) not used to recontact the child or for any other purpose; and

(iii) not disclosed on the site,

if the operator uses reasonable efforts to provide a parent notice of the name and online contact information collected from the child, the purposes for which it is to be used, and an opportunity for the parent to request that the operator make no further use of the information and that it not be maintained in retrievable form; or

(E) the collection, use, or dissemination of such information by the operator of such a website or online service necessary--

(i) to protect the security or integrity of its website;

(ii) to take precautions against liability;

(iii) to respond to judicial process; or

(iv) to the extent permitted under other provisions of law, to provide information to law enforcement agencies or for an investigation on a matter related to public safety.

(3) **Termination of service:** The regulations shall permit the operator of a website or an online service to terminate service provided to a child whose parent has refused, under the regulations prescribed under paragraph (1)(B)(ii), to permit the operator's further use or maintenance in retrievable form, or future online collection, of personal information from that child.

(c) **Enforcement:** Subject to sections 1304 and 1306, a violation of a regulation prescribed under subsection (a) shall be treated as a violation of a rule defining an unfair or deceptive act or practice prescribed under section 18(a)(1)(B) of the Federal Trade Commission Act (15 U.S.C. 57a(a)(1)(B)).

(d) **Inconsistent State Law:** No State or local government may impose any liability for commercial activities or actions by operators in interstate or foreign commerce in connection with an activity or action described in this title that is inconsistent with the treatment of those activities or actions under this section.

[Page: H11241]

## SEC. 1304. SAFE HARBORS.

(a) **Guidelines:** An operator may satisfy the requirements of regulations issued under section 1303(b) by following a set of self-regulatory guidelines, issued by representatives of the marketing or online industries, or by other persons, approved under subsection (b).

(b) **Incentives:**

(1) **Self-regulatory incentives:** In prescribing regulations under section 1303, the Commission shall provide incentives for self-regulation by operators to implement the protections afforded children under the regulatory requirements described in subsection (b) of that section.

(2) **Deemed compliance:** Such incentives shall include provisions for ensuring that a person will be deemed to be in compliance with the requirements of the regulations under section 1303 if that person complies with guidelines that, after notice and comment, are approved by the Commission upon making a determination that the guidelines meet the requirements of the regulations issued under section 1303.

(3) **Expedited response to requests:** The Commission shall act upon requests for safe harbor treatment within 180 days of the filing of the request, and shall set forth in writing its conclusions with regard to such requests.

(c) **Appeals:** Final action by the Commission on a request for approval of guidelines, or the failure to act

within 180 days on a request for approval of guidelines, submitted under subsection (b) may be appealed to a district court of the United States of appropriate jurisdiction as provided for in section 706 of title 5, United States Code.

#### SEC. 1305. ACTIONS BY STATES.

##### (a) **In General:**

(1) **Civil actions:** In any case in which the attorney general of a State has reason to believe that an interest of the residents of that State has been or is threatened or adversely affected by the engagement of any person in a practice that violates any regulation of the Commission prescribed under section 1303(b), the State, as *parens patriae*, may bring a civil action on behalf of the residents of the State in a district court of the United States of appropriate jurisdiction to--

(A) enjoin that practice;

(B) enforce compliance with the regulation;

(C) obtain damage, restitution, or other compensation on behalf of residents of the State; or

(D) obtain such other relief as the court may consider to be appropriate.

##### (2) **Notice:**

(A) **In general:** Before filing an action under paragraph (1), the attorney general of the State involved shall provide to the Commission--

(i) written notice of that action; and

(ii) a copy of the complaint for that action.

**(B) Exemption:**

**(i) In general:** Subparagraph (A) shall not apply with respect to the filing of an action by an attorney general of a State under this subsection, if the attorney general determines that it is not feasible to provide the notice described in that subparagraph before the filing of the action.

**(ii) Notification:** In an action described in clause (i), the attorney general of a State shall provide notice and a copy of the complaint to the Commission at the same time as the attorney general files the action.

**(b) Intervention:**

**(1) In general:** On receiving notice under subsection (a)(2), the Commission shall have the right to intervene in the action that is the subject of the notice.

**(2) Effect of intervention:** If the Commission intervenes in an action under subsection (a), it shall have the right--

(A) to be heard with respect to any matter that arises in that action; and

(B) to file a petition for appeal.

**(3) Amicus curiae:** Upon application to the court, a person whose self-regulatory guidelines have been approved by the Commission and are relied upon as a defense by any defendant to a proceeding under this section may file amicus curiae in that proceeding.

**(c) Construction:** For purposes of bringing any civil action under subsection (a), nothing in this title shall be construed to prevent an attorney general of a State from exercising the powers conferred on the attorney general by the laws of that State to--

(1) conduct investigations;

(2) administer oaths or affirmations; or

(3) compel the attendance of witnesses or the production of documentary and other evidence.

**(d) Actions by the Commission:** In any case in which an action is instituted by or on behalf of the Commission for violation of any regulation prescribed under section 1303, no State may, during the pendency of that action, institute an action under subsection (a) against any defendant named in the complaint in that action for violation of that regulation.

**(e) Venue; Service of Process:**

**(1) Venue:** Any action brought under subsection (a) may be brought in the district court of the United States that meets applicable requirements relating to venue under section 1391 of title 28, United States Code.

**(2) Service of process:** In an action brought under subsection (a), process may be served in any district in which the defendant--

(A) is an inhabitant; or

(B) may be found.

#### **SEC. 1306. ADMINISTRATION AND APPLICABILITY OF ACT.**

**(a) In General:** Except as otherwise provided, this title shall be enforced by the Commission under the Federal Trade Commission Act (15 U.S.C. 41 et seq.).

**(b) Provisions:** Compliance with the requirements imposed under this title shall be enforced under--

(1) section 8 of the Federal Deposit Insurance Act (12 U.S.C. 1818), in the case of--

(A) national banks, and Federal branches and Federal agencies of foreign banks, by the Office of the Comptroller of the Currency;

(B) member banks of the Federal Reserve System (other than national banks), branches and agencies of foreign banks (other than Federal branches, Federal agencies, and insured State branches of foreign banks), commercial lending companies owned or controlled by foreign banks, and organizations operating under section 25 or 25(a) of the Federal Reserve Act (12 U.S.C. 601 et seq. and 611 et seq.), by the Board; and

(C) banks insured by the Federal Deposit Insurance Corporation (other than members of the Federal Reserve System) and insured State branches of foreign banks, by the Board of Directors of the Federal Deposit Insurance Corporation;

(2) section 8 of the Federal Deposit Insurance Act (12 U.S.C. 1818), by the Director of the Office of Thrift Supervision, in the case of a savings association the deposits of which are insured by the Federal Deposit Insurance Corporation;

(3) the Federal Credit Union Act (12 U.S.C. 1751 et seq.) by the National Credit Union Administration Board with respect to any Federal credit union;

(4) part A of subtitle VII of title 49, United States Code, by the Secretary of Transportation with respect to any air carrier or foreign air carrier subject to that part;

(5) the Packers and Stockyards Act, 1921 (7 U.S.C. 181 et seq.) (except as provided in section 406 of that Act (7 U.S.C. 226, 227)), by the Secretary of Agriculture with respect to any activities subject to that Act; and

(6) the Farm Credit Act of 1971 (12 U.S.C. 2001 et seq.) by the Farm Credit Administration with respect to any Federal land bank, Federal land bank association, Federal intermediate credit bank, or production credit association.

(c) **Exercise of Certain Powers:** For the purpose of the exercise by any agency referred to in subsection (a) of its powers under any Act referred to in that subsection, a violation of any requirement imposed under this title shall be deemed to be a violation of a requirement imposed under that Act. In addition to its powers under any provision of law specifically referred to in subsection (a), each of the agencies referred to in that subsection may exercise, for the purpose of enforcing compliance with any requirement imposed under this title, any other authority conferred on it by law.

(d) **Actions by the Commission:** The Commission shall prevent any person from violating a rule of the Commission under section 1303 in the same manner, by the same means, and with the same jurisdiction, powers, and duties as though all applicable terms and provisions of the Federal Trade Commission Act (15 U.S.C. 41 et seq.) were incorporated into and made a part of this title. Any entity that violates such rule shall be subject to the penalties and entitled to the privileges and immunities provided in the Federal Trade Commission Act in the same manner, by the same means, and with the same jurisdiction, power, and duties as though all applicable terms and provisions of the Federal Trade Commission Act were incorporated into and made a part of this title.

(e) **Effect on Other Laws:** Nothing contained in the Act shall be construed to limit the authority of the Commission under any other provisions of law.

[Page: H11242]

#### **SEC. 1307. REVIEW.**

Not later than 5 years after the effective date of the regulations initially issued under section 1303, the Commission shall--

(1) review the implementation of this title, including the effect of the implementation of this title on practices relating to the collection and disclosure of information relating to children, children's ability to obtain access to information of their choice online, and on the availability of websites directed to children; and

(2) prepare and submit to Congress a report on the results of the review under paragraph (1).

#### **SEC. 1308. EFFECTIVE DATE.**

Sections 1303(a), 1305, and 1306 of this title take effect on the later of--

- (1) the date that is 18 months after the date of enactment of this Act; or
- (2) the date on which the Commission rules on the first application filed for safe harbor treatment under section 1304 if the Commission does not rule on the first such application within one year after the date of enactment of this Act, but in no case later than the date that is 30 months after the date of enactment of this Act.



## Child Tracker Demo

Here are examples of ChildTracker.net's parental permission slip process, using the fictional site, "MyToys.com".

- 1) **"Registration"** - This demonstrates the process for collecting children's information that will not be shared with outside parties.

[Click here to register at MyToys.com](#)

[Click here to view the "registration" list](#)

- 2) **"Verification"** - This demonstrates the process for collecting children's information that will be shared with outside parties or posted.

[Click here to register at MyToys.com for a shared list](#)

[Click here to view the "verified" list](#)



**Are You Under 13?**





## MyToys.com Permission Request

Hey Kids! In order to register for the **Toys Club** you have to get your parent's OK. Just fill out the form below and click the "Go" button and we'll send them a permission slip.

Your Email:

Your Parents Email:



# Thanks

We just sent an e-mail to your parents to let them know you want to register with MyToys.com.

As soon as they fill out the permission slip, we'll e-mail you to let you know that you can register.

Remind your parents to check their e-mail for a note from us. See you back soon!

Close Window

**Main Identity**

---

**From:** <ChildTracker@followup.net>  
**To:** <amack@followup.net>  
**Sent:** Tuesday, June 13, 2000 3:14 PM  
**Subject:** A Permission Request from Your Child

Dear Parent,

Your child, [amack@followup.net](mailto:amack@followup.net), would like to register with MyToys.com. Because your child is under the age of 13, we are required to receive your permission before they give us any information.

Please read our information use policy below and then click on the link at the bottom of the page to grant or deny, your permission for your child to register with us.

MyToys.com Privacy Statement:

<http://www.childtracker.net/ctprivacy.html>

To complete the permission slip, please click here:

<http://www.childtracker.net/PermissionSlipSc.jsp?kXj50=773kpfIWh0195>

If you cannot click on the link above, copy it and paste it into the address line of your Internet browser.

This "permission slip" service is provided to MyToys.com by ChildTracker.net. ChildTracker.net is a trusted agent and does use, share or distribute any information provided to the MyToys.com for any reason whatsoever.

**Parent Permission Slip**

Please fill out this form and we will e-mail your child when we receive your response. Please review your e-mail if you have any questions.

Parent's First Name:

Parent's Last Name:

Relationship To Child:





Thank you for filling out this permission slip.  
We will e-mail your child to let him or her know that  
you have responded.

## **Main Identity**

---

**From:** <ChildTracker@followup.net>  
**To:** <amack@followup.net>  
**Sent:** Tuesday, June 13, 2000 3:36 PM  
**Subject:** Child Tracker Permission

Hi [amack@followup.net](mailto:amack@followup.net):

We've received your parent's permission for you to register at MyToys.com. You can now go to our site and sign-up.

To sign-up click, <http://www.childtracker.net/subscribe.html>

Thanks!

MyToys.com

## Vendor's Registration Page





## Report for Toys Club

Child Email	Parent Email	Parent First Name	Parent Last Name	Response	Response Date
amack@followup.net	amack@followup.net	alan	mack	Yes	06/13/2000

# DRAFT Claims - ChildTracker

## (ChildTracker) AuthorizationTrakker - (Parent) Authorization Process Claim

A method of getting authorization

Under control of a third party server

By which the third party server receives a request for authorization

Creates an account for the authorizing party {and an account for the party requiring authorization}

Contacts the authorizing party

Processes response from the authorizing party OR Authorizing party's client system sends authorization to the server system

The server system communicates the authorizing party's response to the requestor(s)

Check use of words:

Validation

Authorization

Confirmation

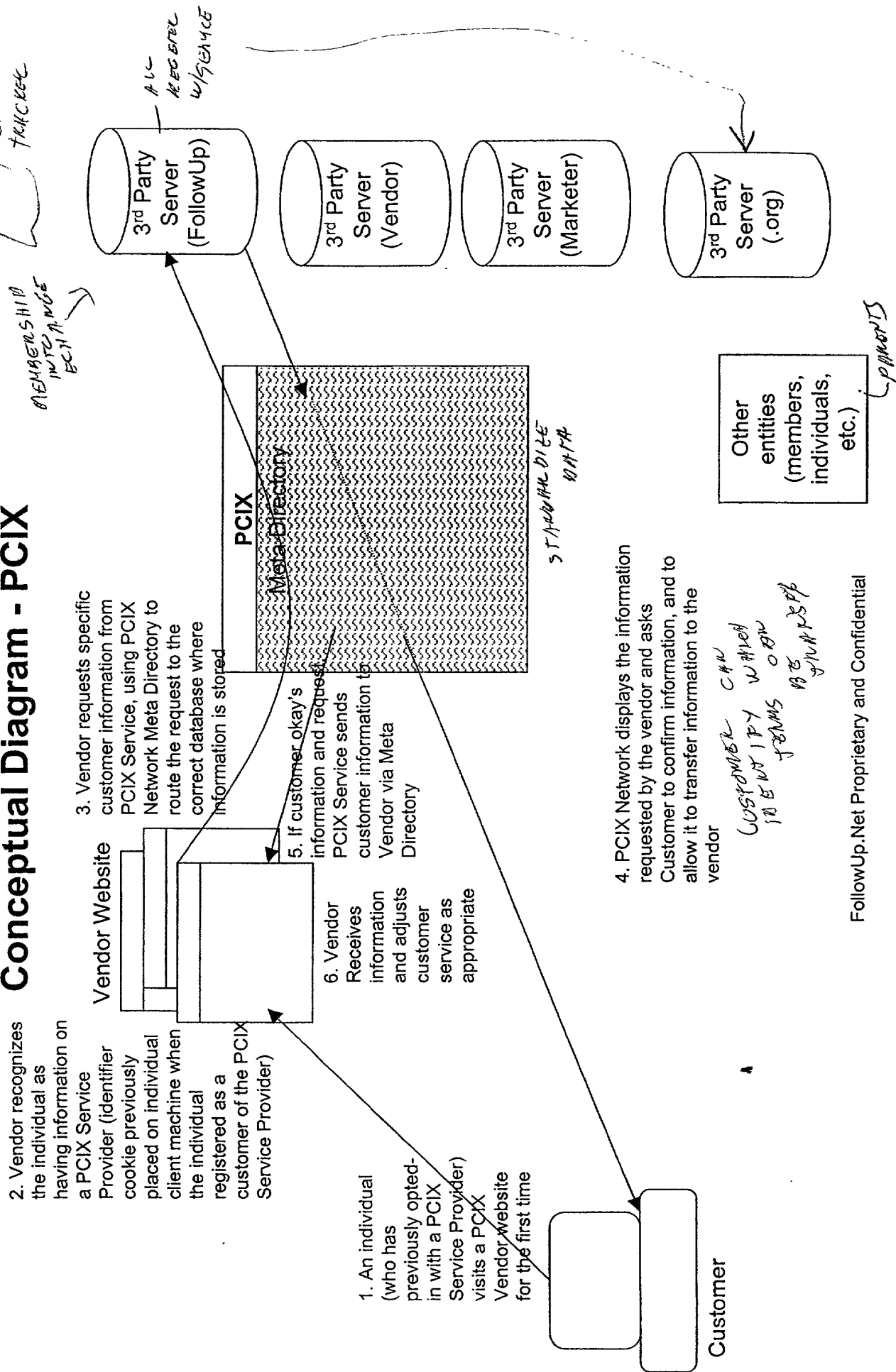
Look up

Verification

*Two Levels of AUTHORIZATION*

FollowUp.Net Proprietary and Confidential

# Conceptual Diagram - PCIX



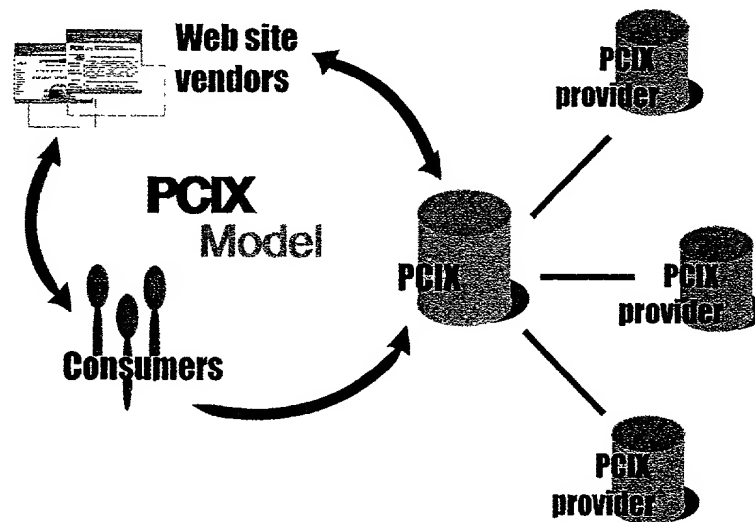
# PCIX Moving from Opt-Out to Opt-In

## Permission-based Customer Information Exchange

**An Open-Source Opt-In Framework** - The key to this process is the "opt-in" to the customer's permission to use personal information. PCIX provides a responsible framework for sharing personal information and is flexible enough to accommodate the needs of different industries and the evolution of the marketplace. It is "open source," not a formal standard that requires industry-wide agreement on code or definitions. But it does provide the consumer with a standard format for reviewing their information across different sites. Hence it works for everyone.

As an "open-source framework," strict adoption of specific sub-categories is not required for PCIX vendors to exchange information. Separate vendors may hold the same information in different subcategories and can easily map them to communicate over a single system.

**PCIX Service Providers** – PCIX allows for an environment of multiple, efficient data repositories where information can be managed and controlled by customers and accessed by vendors. Various third party, information support businesses can provide avenues for communication within the PCIX environment. Some will provide anonymity services; others will act as financial infomediaries. Still others will focus on permission-based information. If they operate openly, they all operate as PCIX services.



### PCIX – Using the Power of Technology to Manage the Impact of Technology.

Everyone wants to benefit from power of the Internet, but not at the expense of privacy. Different people have different ideas about how their information should be used by companies. Some people don't want their information to be used for any purpose other than basic service needs. Others will trade personal information for the chance to get sites targeted to their specific interests. The PCIX framework is flexible enough to accommodate a wide range of needs from both consumers and businesses.

## PCIX.org Permission-based Customer Information eXchange

### Creating the Market for Information in an Opt-In world

PCIX.org is a coalition established to offer a meaningful market solution to the issue of privacy and personal information on the Internet.

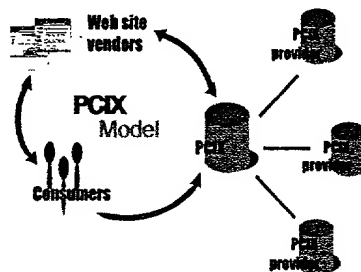
#### The PCIX Program

PCIX is about creating a new category of businesses focused on third-party information management, and enabling the broad adoption of their services. Consumers can choose a service that fits their preferred style of information management. These services can act as privacy tools for consumers, and a responsible means for vendors to reach customers.

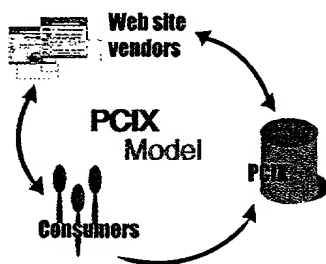
**The Meta-Directory** - We are proposing a PCIX meta-directory that will allow different entities to map their information to all vendors. Vendors will only need to sign up with the directory to access all third party services. This will enable infomediaries and privacy services, and vendors to focus on serving customers.

#### Types of PCIX Services

Anonymous Services  
Infomediaries  
Privacy Guards  
E-Wallets



**The Framework** - The PCIX open source framework organizes information into broad categories that different vendors can map information to without altering internal database structures. The PCIX meta-directory would do the mapping creating a single point of contact for web vendors. It is "open source," not a formal standard requiring industry-wide agreement on code or definitions.



1. **Permission and Privacy Level** Opt-in/out, track subscriptions, track children
2. **Descriptive Information** Sex, age
3. **Preference Information** Hobbies, interests, color, airline seat
4. **Contact Information** Address, telephone number, delivery instructions
5. **Account and Historical Information** Financial, medical information, etc.

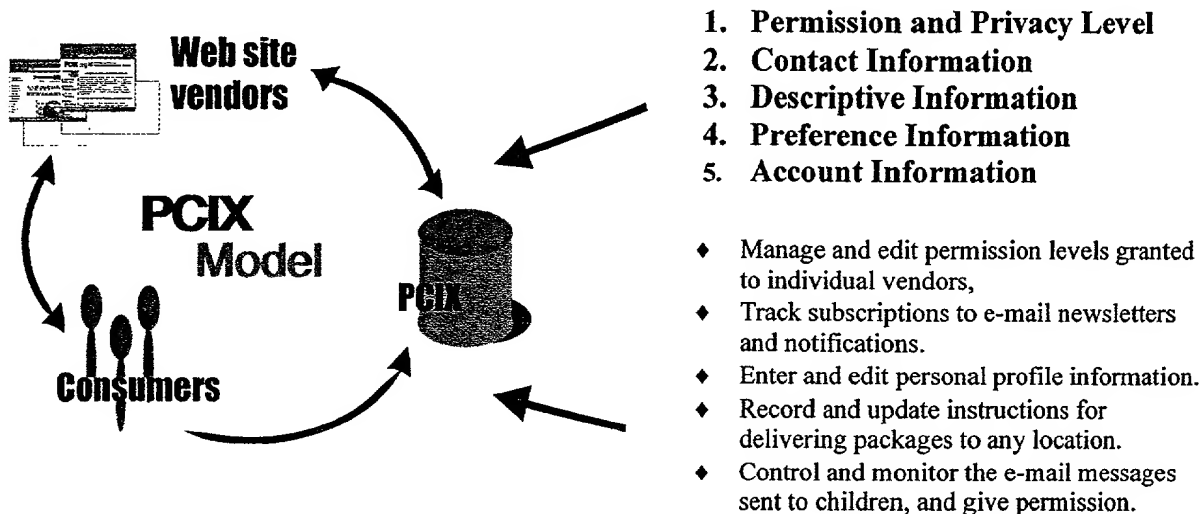
**PCIX as a Tool** - The service would act as a pass through, and not retain the customer information transferred on behalf of the third-party services. The services would be tools for consumers to manage their personal information across websites.

**The Association** - PCIX.org was established to facilitate the adoption of a meaningful market approach to the issue of Internet privacy. By presenting an organized voice on the issues that impact information exchange and privacy PCIX.org will ensure the smooth implementation of this market that will serve the needs of both vendors and consumers.

# PCIX Moving from Opt-Out to Opt-In

## Permission-based Customer Information Exchange

PCIX is the framework that can move the world from "opt-out" to "opt-in." PCIX allows consumers to share personal information in order to receive the best service, while protecting their privacy. At the same time, PCIX gives businesses a useable framework in which to responsibly communicate with customers and manage information efficiently.



**The Information Framework** – PCIX categorizes personal information into 6 basic levels:

1. **Permission and Privacy Level** - Opt-in, Opt out, track subscriptions, monitor children, etc.
2. **Contact Information** - Address telephone number, delivery instructions, etc.
3. **Descriptive Information** - Sex, age, clothing size, etc.
4. **Preference Information** - Hobbies, interests, clothing styles, color, airline seat, etc.
5. **Account and Historical Information** - Financial, medical information, etc.

**The Agreement** – PCIX rests on the principal that information is best used only for explicit purposes and only with the active permission of the customer. PCIX is based on the **Responsible Use of Personal Information (RUPI)**; a commitment to not sell, share or combine information with third parties.

**How It Works** - With PCIX, companies commit to the RUPI principals and post a button on their site. Consumers can go to a site and freely surf and enter information, knowing the site is safe. When they give information to the site, it will be recorded for the site and for the consumer at their PCIX provider. The consumer can then manage and edit the information and subscriptions from their account at their PCIX provider site. When they make changes at the site, the provider will communicate them to the company site for the consumer.

## **Abstracts**

### **1. PCIX Service Network**

An information brokerage system

Method and System for retrieving, exchanging and aggregating personally identifying information across the Internet between vendors, customers, and third party databases via an encrypted customer-controlled directory service.

### **2. AuthorizationTrakker.com**

A Method and Process for using a "Slave Server" system for creating and managing a separate authorization party account for a customer.

Method and system for electronically employing a third party service for the retrieval of a parent's permission

### **3. RegistrationTrakker.com**

Method and system for creating and maintaining a user account employing a Primary Server and an independent, third party Slave Server.

### **4. EditTrakker.com**

Method and system for employing two distinct servers for account maintenance.

Desirable to provide information access and editing capability independently of the vendors' database network

Desirable to provide a support mechanism for vendor registration

### **5. NoticeTrakker.com**

Method and system for employing a slave server system for alerting customers to changes in their account information. The slave system provides information access to customer information used by the vendor without risking access to the vendors databases.

### **6. PermissionTrakker.com**

A method and system for obtaining customer permission for the use of personally identifiable information by a third party.

### **7. ChoiceTrakker.com**

A method and system for allowing customer control over the use of personally identifiable information by a third party.

#### **8. SecurityTrakker.com**

A method and system for allowing customer control and notice of the security methods employed by companies holding personally identifiable information about a customer.

#### **9. PrivacyTrakker.com**

A method and system for allowing customer control and notice of the privacy policies employed by companies holding personally identifiable information about a customer.

#### **“Pieces” or “Objects” in the Process**

1. Vendor
2. Customer
3. Primary server (Vendor's Server)
4. Third Party or “Slave” Server (i.e. CT server function)
5. Account Party
6. Authorizing Individual (Parent in CT)
7. PCIX Service Provider (Third Party Information Database Server)
8. PCIX Network (Network Directory Server)

#### **Steps within a Claim**

A method and system employing two separate server systems for creating and maintaining account information

Vendor server receives permission notification from a slave server

PCIX Network (Network Directory Server) receives request for information

Method and process for an independent PCIX Network (Network Directory Server) to map vendor, client, 3<sup>rd</sup> party relationships and then perform the data integration and communication.



**PCIX Network Claim (?)**

1. Customer visits web site
2. Vendor recognizes (cookie?, log-in?, how?) customer as having info stored with a PCIX Service Provider
3. Vendor requests customer information
4. PCIX Network (NDS) locates appropriate third party database server
5. Third party database server transfers information to PCIX Network
6. PCIX Network transforms data into appropriate format
7. PCIX Network displays vendor request and PCIX Service Provider information back to customer (client software) for authorization to transmit to vendor
8. Customer OK's the PCIX Network to transmit information to client
9. PCIX Network transmits information to Vendor's Primary Server (through proprietary, pciXML format?)

**AuthorizationTrakker - (Parent) Authorization Process Claim (?)**

The use of a third party to perform the authorization process

1. Customer (Child) wishes to register or sign-up at a Vendor's Web site
2. Upon attempted registration, Vendor's Primary Server contacts third-party Slave Server
3. Transfers information to independent Slave Server
4. Slave Server creates account for authorizing individual
5. Slave Server contacts authorizing individual
6. Authorizing individual grants or denies authorization, and perhaps puts in additional information
7. Slave Server notifies the Customer of outcome (through e-mail, cell phone, pager, et al)
8. Slave Server directs the customer back to Primary Server
9. Or – Web site transfers information to Primary Server

Web site receives customer information from a third party database server

Shares Client information

Displays client information

Primary server takes over process

Identifier communicated

Customer can access Slave Server or PCIX Network to maintain the account on Primary Server or PCIX Service Provider

Slave server verifies account holder information with third party

Communicates between parties

- Provides Access
- Enables Choice
- Provides Notification
- Provides Information Security
- Records activity

Remote editing

A display component

A self-ID component

Combining infrastructure

### What are alternate processes & models?

- Single server registration
- Direct access to Vendor's servers
- Stand-alone servers

# Features

102138-100

*Simplicity in function is a critical element, as FollowUp.Net applications are the antithese of bloatware: fast, focused and effective.*

## Market Research:

- Elegant Survey Creation Process
- Clean Survey Presentation
- Simple, Logical Navigation with the Control Panel
- Numerous Question Types
- Real Time Reporting
- Powerful Analysis with Eight Different Reporting Mechanisms
- Reminder Notification for Non-Respondents
- Survey Recipient Targeting with Profile fields
- New Recipient Targeting
- Target Messaging for Respondents
- Duplication of Surveys for Re-Sending or Modification
- Customize-able Options to Personalize Surveys and Messages

## Customer Profiling:

- User-Defined Customer Group Labels
- Unlimited Custom Profile Fields
- Profile Creation Straight from Surveys
- Profile Customers Across All Surveys

## Direct Marketing:

- Newsletters and Promotions
- Customer Loyalty Programs
- Target Messaging Using Profiles
- Target Messaging of Respondents to Specific Answers
- Several Customize-able Options Using Personalize your Messages



# FollowUp.Net

For more information, contact:  
(203) 226-5853 x118  
sales@followup.net

# ProfileTrakker

102138-100

*Bring eCustomer development to a new level and fulfill the promises of database and one-to-one marketing. ProfileTrakker lets e-commerce merchants get the most out of their customers - and customer acquisition costs - by providing a series of profiling and relationship building tools that are powerful, easy to use, and cost effective.*

## ProfileTrakker creates and manages:

- Customer Profiles
- Target Marketing
- Market Research
- Permission Marketing
- Brand Development
- Promotions
- Newsletters

## A Complete Program

Used across all customers for the length of the relationship  
Develop customer from visitor to buyer to loyal customer  
Actively reach out to customers with promotions, buyers clubs, newsletters, etc.  
Profile data collected from multiple points  
Runs from a centralized "control panel"  
Comprehensive, real time reporting

## Complete Profiles

Behavioral  
Attitudinal  
Demographic

## Easy to Use and Implement

Web-based, hosted application  
Integrates with existing applications  
Scalable  
Powerful

## Effective

Proven Return on Investment

# FollowUp.Net

FollowUp.Net, Inc. is a registered trademark of FollowUp.Net, Inc. All rights reserved. © 2000 FollowUp.Net, Inc.

# FollowUp.Net: The PCIX Model

## Professional

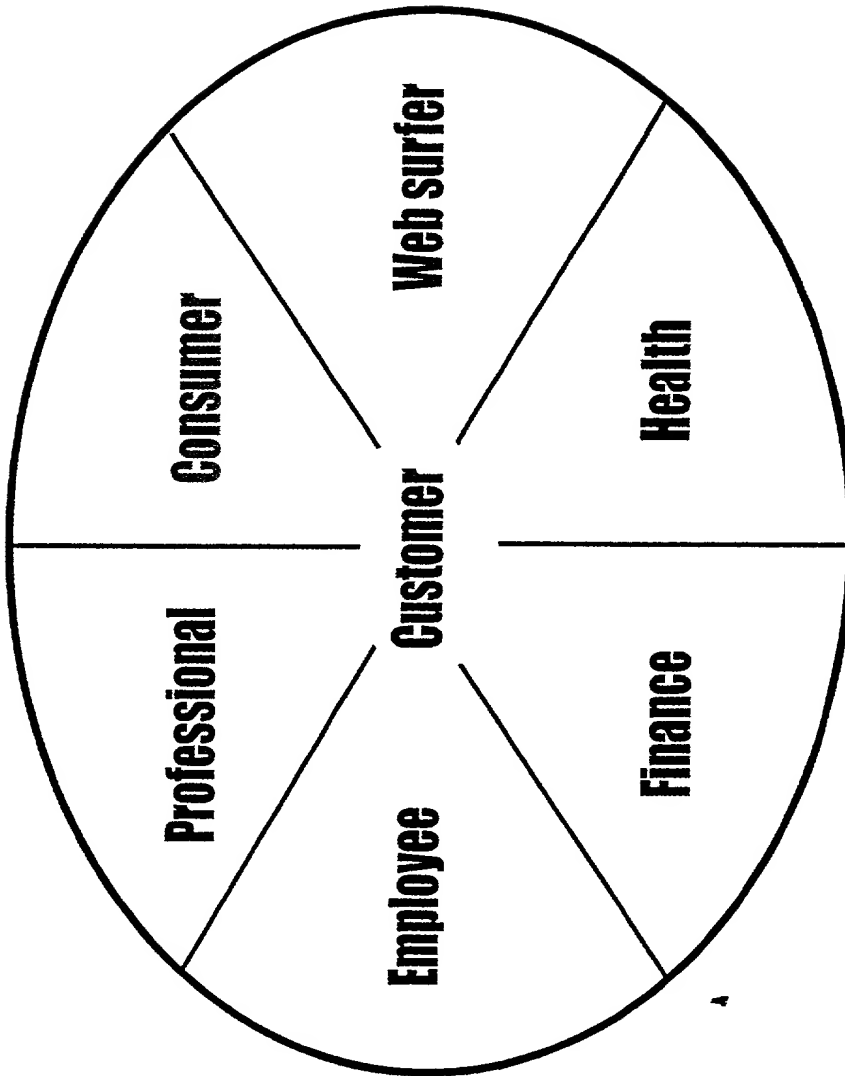
seminar  
referral  
client  
lead

## Employee

evaluation  
sales

## Finance

purchase  
loan  
bill



## Consumer

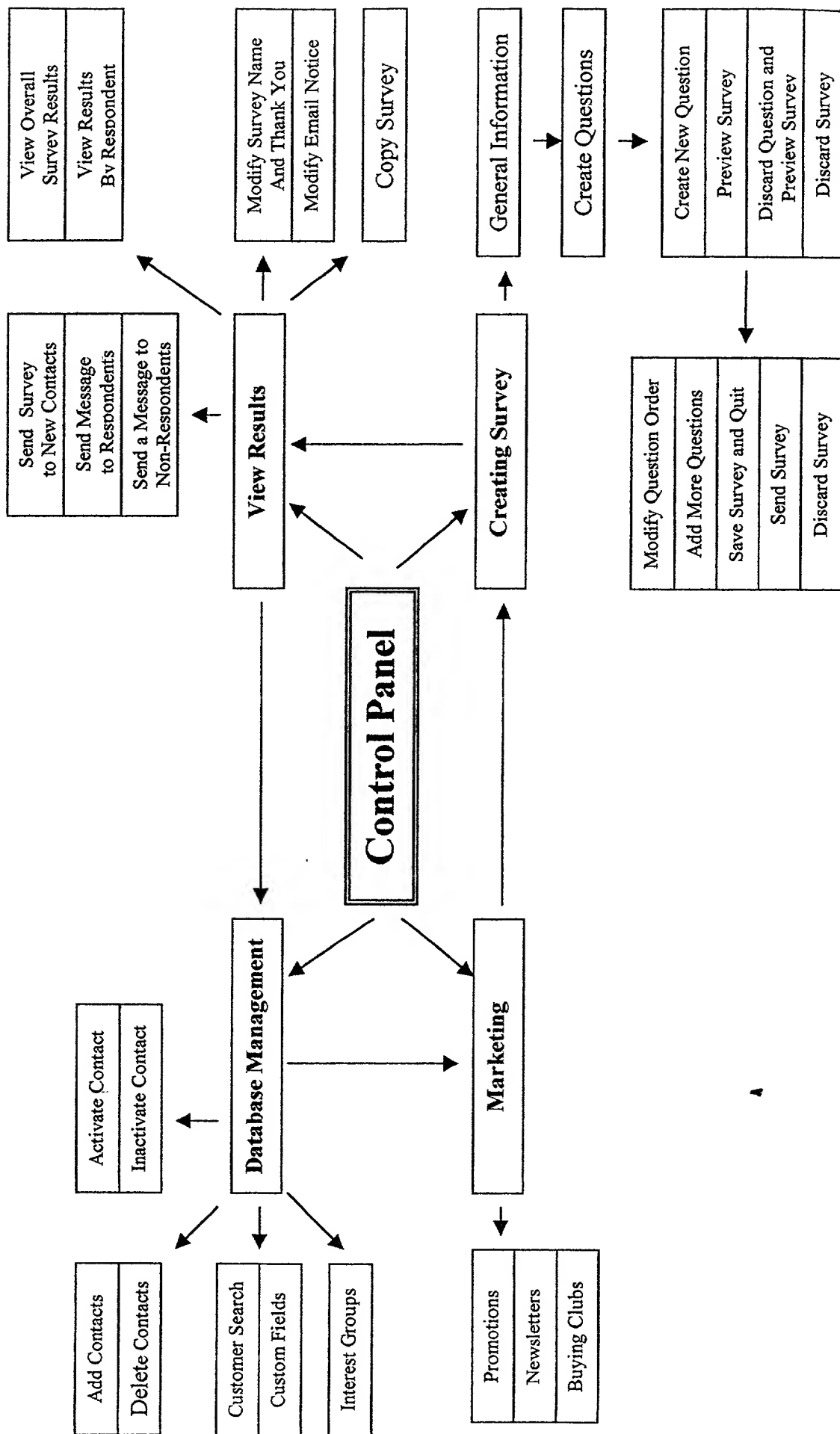
warranty  
subscription  
delivery  
satisfaction

## Web surfer

permission  
profile  
child

## Health

prescription  
safety



# FollowUp.Net Marketing Data Center

102138-100

*Customers*

Targeted E-mail  
Newsletter  
Warranty  
Buyers Club

Messaging Engine

Survey Design  
Survey Templates

Survey Engine

Selection Criteria  
Selection Set

List Management Engine

Tracked E-mails  
Target E-mails  
Warranty  
Buyers Clubs  
Opt-in Lists  
Warranty Info.

Internet TCP/IP

Survey Response Manager

Outgoing Mail Server

Input Facility

Information Manager

Mailing Lists and Labels

Completed Surveys

Profile Database

Internet TCP/IP

Reporting Engine

Paper Reports

Online Reports

Raw Data File

*Vendor*

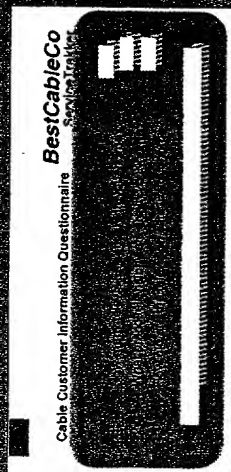
Marketing Administrator

Data Upload

XML or API

Transaction Server Logs  
Help Desk

# The Smart Service Person



## BestCableCo

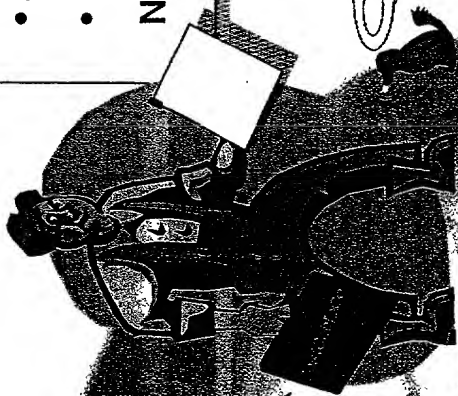
### Service Order:

July 20, 2000, 3:00 PM

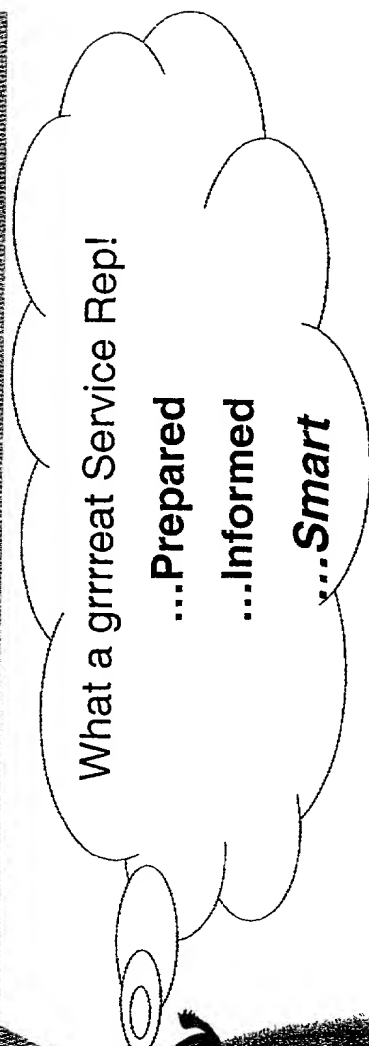
123 YourAddress, Apt B

- Cable installation: 3 television sets
- Sony Model X, Toshiba Model Y, Panasonic Model Z
- ...

**NOTE: Entrance around back, BEWARE OF DOG!**



(complete form for the job)



## FollowUp.Net

Intelligent Service FollowUp Systems



## ServiceTrakker Example

To: Customer@email.com

From: YourCableCo

Subject: Service Call, July 20, 3:00 PM

Thank you for selecting BestCableCo.

So that we may provide you with the best service possible, please click on the link below to fill out our Questionnaire ...

<http://www.YourCableCo.com/Questionnaire>



# BestCableCo

ServiceTrakker

## Cable Customer Information Questionnaire

1. How many television sets are in your home?

2. When did your television sets are in your home?

3. How old are the television sets in your home?

4. Special instructions for Service Representatives

## FollowUp.Net

FollowUp.Net is a free service provided by...

PERMISSION -

BASED

FOR THE CUSTOMER

102138-100

IN FORMATION

EXCITING

102138-100

## DRAFT Claims - PCIX

### PCIX Network

A method of creating and maintaining a [vendor] account on behalf of an individual or entity

Employing a third party server(s)

By which a third party server receives a request from the vendor to set up an account, and

Checks if individual or entity already has an account, and creates an account if none exists

The third party server may:

Request authorization from another party

Access existing accounts' preferences

Allow account holders to access and or modify their account information

FollowUp.Net Proprietary and Confidential

IN THE CLAIMSWe Claim:

1. A method for a requester to gain access to desired location requiring the permission of an authority, comprising the steps of:  
    providing a host to receive a request for access from said requester and to transmit said request to said authority;  
    said host receiving a response from said authority;  
and  
    dependent on said response, said host either providing said requester with access to said desired location or denying said requester access to said desired location.
2. The method of claim 1 wherein said host is a computer server interconnected to said requester and to said authority.
3. The method of claim 2 wherein said desired location is a data base accessible by a uniform resource listing (URL).
4. The method of claim 3 wherein said host is interconnected to said requester and to said authority by an integrated network of computers.
5. The method of claim 4 wherein said integrated network of computers is an Internet.
6. The method of claim 4 wherein said access is in the form of a password.
7. The method of claim 4 wherein said access is in the form of a URL portal to said desired location.
8. The method of claim 4 wherein said requester is a child under the age of 18 and said authority is a parent or legal guardian of said child.
9. The method of claim 8 wherein said child is under the age of 13.
10. The method of claim 8 wherein said host further provides said authority with a list of desired locations accessed by said requester.

11. The method of claim 10 wherein said authority has the capability via said host of denying said requester with further access to one or more of said desired locations on said list of desired locations.

12. The method of claim 8 wherein responsive to said request for access, said host obtains said requester's age and if said age is less than 13, said host obtains an identity of said authority from said requester and then notifies said authority of said request for access, wherein responsive to a response from said authority, said host either grants or denies said requester said desired access.

13. The method of claim 12 wherein said step of notifying said authority includes one or more of a name of said desired location, information collected about said requester by said desired location, a privacy statement of said desired location, whether information collected by said desired location is shared with others and credit card validation information.

14. A method for a host to provide known data about an entity to a third party pursuant to said entity's authorization, comprising the steps of:

    providing a means for said third party to recognize said entity as a member of a service of said host;

    responsive to said recognition, said host receiving a request from said third party for specific information about said entity;

    said host surveying at least one data repository for said specific information about said entity;

    said host displaying said specific information about said entity to said entity and requesting authorization from said entity to provide at least a portion of said specific information to said third party; and

    responsive to an opting in of said entity, said host providing at least a portion of said specific information to said third party.

15. The method of claim 14 wherein said host, said entity and said third party are interconnected via an integrated network of computers.

16. The method of claim 15 wherein said third party is provided with an indication that said entity is a member of said service of said host via digitally transmitted data.

17. The method of claim 16 wherein said digitally transmitted data is a cookie embedded with in said entity's computer's memory.

18. The method of claim 16 wherein said specific information is located on a plurality on non-related data bases.

19. The method of claim 18 wherein not one of said non-related data bases contains all of said specific information.

20. The method of claim 18 wherein said host further classifies said specific information into a plurality of categories and said entity may opt to provide information classified within one or more of said plurality of categories.

21. The method of claim 20 wherein said categories are selected from the group including permission and privacy information, contact information, descriptive information, preference information and account information.

22. The method of claim 21 wherein said host further provides services selected from the group consisting of managing and editing permission levels, tracks subscriptions to email letters and notifications, enters and edits personal profile information, records and updates delivery information and controls and monitors email and access provided to children.

23. The method of claim 14 wherein said third party conforms to conditions of said host prior to being granted access to any of said specific information.

24. The method of claim 23 wherein said conditions of said host include responsible use of personal information.

Abstract of the Disclosure

There is provided a method for a requester to gain access to desired location, for example an Internet portal, that requires the permission of an authority. A host receives a request for access from the requester and transmits the request to the authority. Pursuant to the authority's response, the host either provides or denies the requester with access. In one embodiment, the requester is a child and the authority is a parent or legal guardian. In another embodiment, access is granted by providing the requester with a password, URL or other access to the Internet portal.